

SPAWARINST 5040.3  
SPAWAR 00G  
29 JAN 1998

SPAWAR INSTRUCTION 5040.3

From: Commander, Space and Naval Warfare Systems Command

Subj: COMMAND INSPECTION PROGRAM

Ref: (a) SECNAVINST 5040.3

1. Purpose. To implement the Naval Command Inspection Program as prescribed in reference (a), and to update implementing procedures for Space and Naval Warfare Systems Command Headquarters (SPAWAR HQ) Inspections.

2. Background. Reference (a) established the objectives of, assigned responsibility for, and prescribed procedures for conducting and reporting on the Command Inspection Program. This instruction further details the Command Inspection Program for SPAWAR and its Systems Centers (SPAWARSYSCENs).

3. Objectives. The objectives of a Command Inspection are:

a. To evaluate the effectiveness of a command in the performance of assigned mission, functions and tasks.

b. To evaluate resource management and its effect on the command's operational and material readiness.

c. To recommend actions to correct deficiencies and improve efficiency and economy of operations.

4. General Policies

a. SPAWAR HQ will schedule Command Inspections as necessary to ensure the objectives of the Command Inspection Program are met and will promulgate annual inspection schedules.

b. SPAWAR 00G will form inspection teams to conduct inspections of SPAWARSYSCENs per reference (a) and this instruction.

c. SPAWARSYSCEN's subordinate activities will be inspected by their parent commands prior to its inspection by SPAWAR HQ. Reports will be forwarded to the SPAWAR HQ Inspector General (SPAWAR 00G).

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5. Inspection Team Composition

(1) Chief Inspector. SPAWAR 00G will act as the SPAWAR HQ Chief Inspector unless otherwise directed.

(2) Team Members. SPAWAR 00G will request team members with appropriate knowledge and expertise from within the SPAWAR HQ Staff Offices and Program Directorates. Manpower assistance from outside of SPAWAR will be requested if a satisfactory experienced team member is unavailable from within SPAWAR HQ.

6. Procedures. Procedures for conducting Command Inspections of SPAWARSYSCENs are prescribed below:

a. Questionnaire Letter. Approximately 90 days before a scheduled Command Inspection, the SPAWARSYSCEN to be inspected shall be so advised and requested to submit current organization charts and functional statements, names of key personnel, copies of host-tenant or cross-servicing agreements (if applicable), pending or planned changes to military and civilian personnel authorizations, and any information concerning regulatory controls which hinder operations with recommended solutions.

b. Headquarters Briefings. Approximately 60 days prior to a Command Inspection, Directorate Heads, PMWs and Heads of Staff Offices will be advised of the name of the SPAWARSYSCEN to be inspected and will request information concerning projects/problems into which inquiry should be made prior to the start of the inspection. Specific offices will also be requested to brief the inspection team in related areas of responsibility.

c. Team Composition Letter. Approximately 30 days before a scheduled inspection, SPAWAR 00G shall advise the SPAWARSYSCEN to be inspected the name and security clearance of inspectors, assigned areas of inspection and other pertinent administrative information.

d. Arrival Conference. An arrival conference will be held on the first day of the inspection, attended by the inspection team members and key personnel of the SPAWARSYSCEN. The agenda for this meeting will include, as a minimum, the following:

(1) Activity

(a) A review by the Commanding Officer of the mission, functions, organization, concept of operations, local host-tenant agreements, facilities, workload, funding, personnel situation, and any problem areas along with recommended solutions.

(b) Designation of an office/conference room for use by the inspection team and a point of contact for administrative/clerical assistance.

(c) Designation of activity counterparts for team members.

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(d) General administrative information.

(2) Inspection Team

(a) The Chief Inspector shall review the objectives of the Command Inspection and will discuss inspection operating procedures.

(b) Introduction of team members and activity counterparts.

e. Tour of Activity. The Commanding Officer shall arrange a tour of activity spaces for the Chief Inspector and team members.

f. Chief Inspector/Deputy Chief Inspector Interviews. The Chief or Deputy Chief Inspector shall make himself available to meet personally with members of the activity who may desire to discuss any matter of interest. Command permission is not required nor will any record be kept of those who meet with the Deputy or Chief Inspector.

g. Departure Conference. At the conclusion of the inspection, a departure conference will be held for the purpose of summarizing inspection findings and clarifying questionable areas. A preliminary report of all findings will be provided to the Commanding Officer prior to the start of the departure conference.

h. Final Report. The written report of inspection shall be prepared within 30 days after the return of the Chief Inspector to Headquarters. The report will evaluate a command's overall performance only in terms of "Satisfactory" (SAT) or "Unsatisfactory" (UNSAT). The report may contain Formal and Informal Findings and Recommendations all of which will be supported by factual data and concurrence obtained from the inspection team member's activity counterpart.

(1) Comments. The Chief Inspector shall submit the report of inspection to the inspected command. The inspected command will endorse the report within 15 working days after its receipt. All recommendations should be commented on and should indicate CONCUR, DO NOT CONCUR, or PARTIALLY CONCUR, with amplifying remarks and suggested changes as considered appropriate. Recommendations concurred in should be regarded as if they were FINAL DIRECTED ACTION and implementing action started immediately.

(2) Final Directed Action. After a review of the Chief Inspector's recommendations, the Commander SPAWAR HQ will promulgate the final decision in a Final Directed Action letter.

7. Follow-up Action

a. Written Reports. Implementing status reports on assigned actions shall be submitted quarterly to SPAWAR 00G until action is completed. OPNAV Form 5040/2 (11-68) will be used for this purpose. The implementation status report is assigned Report Symbol OPNAV 5040-1.

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b. Revisits. SPAWAR 00G will normally conduct an on-site reinspection approximately 18 months after the completion of a Command Inspection to review implementing actions taken and planned. However, if no significant deficiencies were disclosed by the Command Inspection, a follow-up reinspection may not be required.

8. Action

a. SPAWAR 00G will:

(1) Control the conduct of the inspection, select and designate team members, and request manpower assistance from outside of SPAWAR as may be required.

(2) Investigate and report on items of special interest to Commander, SPAWAR HQ and to higher authority.

(3) Coordinate formal inspection and evaluation programs to eliminate overlap and redundancy in inspections.

(4) Conduct follow up. Track systemic problems reported by SPAWARSYSCENs to ensure appropriate action is taken.

(5) Annually prepare and promulgate SPAWARNOTE 5040; Command Inspection Schedule.

b. SPAWAR HQ Staff Offices and Program Directorates will:

(1) Provide augmenting Command Inspection team members upon request and furnish required briefing material.

(2) Recommend alternate members if requested individuals are unavailable.

c. SPAWARSYSCENs Commanding Officers. Inspected commands shall cooperate fully with the Chief Inspector and his/her inspection teams and will:

(1) Furnish requested management and operating information to SPAWAR 00G.

(2) Provide manpower assistance upon request.

(3) Provide administrative, clerical and logistic support during the conduct of the inspection.

(4) Establish a follow-up system as part of their inspection program to ensure responsible authorities carry out approved recommendations.

(5) Submit implementation status on recommendations to SPAWAR 00G quarterly in the format of the Implementation Status Report, OPNAV 5040/2 (11-68).

(6) Provide SPAWAR HQ with copies of command inspection reports of their immediate subordinate activities.

9. Forms. OPNAV Form 5040/2 (11-68), S/N 0107-LF-774-1001 may be obtained by either using the procedures contained in NAVSUP P2002D or electronically downloading from SPAWAR HQ local area network.

/s/

G. F. A. Wagner  
Rear Admiral, U.S. Navy

Distribution:  
SPAWAR List 2

SNDL Part II:  
FKQ (SPAWARSYSCEN's)